



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
-----------------	-------------	----------------------	---------------------

09/305,146 05/04/99 GUYAN

G AND1P069

TM02/0309  
HICKMAN STEPHENS & COLEMAN LLP  
P O BOX 52037  
PALO ALTO CA 94303-0746

EXAMINER

RIMELL, S

ART UNIT

PAPER NUMBER

2166

DATE MAILED:

03/09/01

**Please find below and/or attached an Office communication concerning this application or proceeding.**

**Commissioner of Patents and Trademarks**

# Office Action Summary

Application No.

09/305,146

Applicant(s)

GUYAN ET AL.

Examiner

Sam Rimell

Art Unit

2166

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-21 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-21 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claims \_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are objected to by the Examiner.
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. § 119

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

SAM RIMELL  
PRIMARY EXAMINER  
AU 2166

## Attachment(s)

- 15) ☒ Notice of References Cited (PTO-892)
- 16) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 17) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_
- 18) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_
- 19) ☐ Notice of Informal Patent Application (PTO-152)
- 20) ☐ Other:

The disclosure is objected to for the following minor informality: In Figure 2A, two different structures are labeled with reference numeral 200. Correction is required.

Claims 2 and 6 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 2 calls for a "subcomponent of an event". It is not clear what distinction exists between an "event" and a "subcomponent of an event". Claim 6 calls for "another application". It is not clear whether this "application" is a computer program or a piece of hardware. The claims do not previously refer to an "application", so it is not clear what "another application" would actually be.

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

Claims 1-21 are rejected under 35 U.S.C. 102(e) as being anticipated by Lau ('247).

Lau discloses a programming system for developing component based software using object oriented programming principles. FIG.3 discloses a data component in the form of a storage system that is capable of storing, retrieving and manipulating data in the form of completed computer programs that includes a specific sets of functions . The system further includes a client side, or user manipulable component (300) that includes a number of subcomponents. The first subcomponent is an adapter component composed of structures (302)

Art Unit: 2166

and (303), which work together. The adapter component (303) transmits and receives data from the data component (308), and cooperates with the adapter component (302) to adapt data received from component (301). The second subcomponent is a business logic component (301) that includes an overall logic for manipulating data. The third subcomponent is a controller component (305) that creates completed frameworks for programs. The controller component (306) receives data on events from the user at terminal (306). The controller component also communicates with the business component (301) and the adapter components (302, 303) to persist data to a data repository in the data component (308).

The purpose of the client component (300) is to create object based programs that link an individual, such as a person (col. 7, line 62) to an event, such as the creation of an insurance policy (col. 7, line 62), an insurance claim (col. 9, line 11), or assignment of an agent to the individual (see reference numeral 501 in FIG. 5).

When a person is linked to an event, they are inherently linked to all the subcomponents associated with that event.

Information on insured individuals and claims made by those individuals must inherently be present in databases, otherwise, the system of Lau would not be able to perform the required function of "resolving customer claims" (col. 9, line 11).

All of the events that become associated with an individual are disclosed by Lau as insurance related events (col. 9, lines 9-10).

FIG. 5 illustrates one type of correspondence template (501) which correlates the individual to certain events, such as the creation of a policy or the assignment of an agent to administer the policy.

Application/Control Number: 09/305,146

Page 4

Art Unit: 2166

Any inquiry concerning this communication should be directed to Sam Rimell at telephone number (703) 306-5626.

A handwritten signature in black ink, appearing to read 'Sam Rimell', is positioned above the printed name.

Sam Rimell  
Primary Examiner  
Art Unit 2166